

While the art submitted in this IDS has been briefly reviewed and considered, due to the incredibly large size of this IDS, it was not feasible for the examiner to thoroughly review, line by line, word for word, every single one of the

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Docket Number 03-1086		Application Number 10/699,858			
		Applicants Howard W. Lutnick et al.					
		Filing Date October 31, 2003		Group Art Unit 3693			
U.S. PATENT DOCUMENTS							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
		2004/0034591	2/19/2004	Waelbroeck et al.			
		2,134,118	10/25/1938	Foss			
		3,573,747	4/6/1971	Adams et al.			
		3,581,072	5/25/1971	Nymeyer			
		3,976,840	8/24/1976	Cleveland et al.			
		4,412,287	10/25/1983	Braddock, III			
		4,674,044	6/16/1987	Kalmus et al.			
		4,677,552	6/30/1987	Sibley et al.			
		4,823,265	4/18/1989	Nelson			
		4,903,201	2/20/1990	Wagner			
		4,951,196	8/21/1990	Jackson			
		4,980,826	12/25/1990	Wagner			
		5,101,353	3/31/1992	Lupien et al.			
		5,136,501	8/4/1992	Silverman et al.			
		5,168,446	12/1/1992	Wiseman			
		5,181,809	1/26/1993	Martin			
		5,193,924	3/16/1993	Larson			
		5,339,392	8/16/1994	Risberg et al.			
		5,339,392	8/16/1994	Risberg et al.			
		5,375,055	12/20/1994	Togher et al.			
FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
		EP 0733963B1	9/25/1996	EP			
		GB 2256954A	12/23/1992	GB			
		EP 0412308B1	12/13/1991	EP			
NON PATENT LITERATURE DOCUMENTS							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		PCT Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority for International Application No. PCT/US04/36126, 6 pp.					
		PCT Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority for International Application No. PCT/US05/00995, 9 pp					
Examiner Signature				Date Considered			

Examiner's Note:

While the art submitted in this IDS has been briefly reviewed and considered, due to the incredibly large size of this IDS, it was not feasible for the examiner to thoroughly review, line by line, word for word, every single one of the

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Docket Number 03-1086		Application Number 10/699,858			
		Applicants Howard W. Lutnick et al.					
		Filing Date October 31, 2003		Group Art Unit 3693			
U.S. PATENT DOCUMENTS							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
		5,710,889	1/20/1998	Clark et al.			
		5,727,165	3/10/1998	Ordish et al.			
		5,914,715	6/22/1999	Sasaki			
		5,950,176	9/7/1999	Keiser et al.			
		5,963,923	10/5/1999	Garber			
		6,016,483	1/18/2000	Rickard et al.			
		6,195,647	2/27/2001	Martyn et al.			
		6,211,880	4/3/2001	Impink, Jr.			
		6,259,044	7/10/2001	Paratore et al.			
		6,272,474	8/7/2001	Garcia			
		6,278,982	8/21/2001	Korhammer et al.			
		6,625,583	9/23/2003	Silverman et al.			
		6,772,132	8/3/2004	Kemp, II et al.			
		6,772,132	8/3/2004	Kemp, II et al.			
		7,000,181	2/14/2006	Press			
		7,000,181	2/14/2006	Press			
		7,243,083	7/10/2007	Burns et al.			
		2005/0038732	2/17/2005	Sweeting et al.			
		2001/003179	6/7/2001	Martyn et al.			
		2002/0029180	3/7/2002	Kirwin et al.			
FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
		EP 0993995B1	4/19/2000	EP			
		WO 85/03115	5/21/1987	PCT			
		WO 85/04271	9/26/1985	PCT			
NON PATENT LITERATURE DOCUMENTS							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		"Hot Keys Now Available", Success Trader Level II - Direct Access Trading, http://web.archive.org/web/20020928124458/http://www.findarticles.com/cf_dis/m0EIN/2001_Oct29/79515988/p1/article.html (printed February 26, 2004).					
		"NextTrend Releases Next Generation Electronic Direct Access Trading, EDAT, Technology Plus New and Expanded Market Analysis Features", Business Wire, October 29, 2001, 2 pages, www.findarticles.com/cf_dis/m0EIN/2001_Oct29/79515988/p1/article.html (printed March 2, 2004).					
Examiner Signature					Date Considered		

While the art submitted in this IDS has been briefly reviewed and considered, due to the incredibly large size of this IDS, it was not feasible for the examiner to thoroughly review, line by line, word for word, every single one of the

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Docket Number 03-1086		Application Number 10/699,858			
		Applicants Howard W. Lutnick et al.					
		Filing Date October 31, 2003		Group Art Unit 3693			
U.S. PATENT DOCUMENTS							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
		2002/0070915	6/13/2002	Mazza et al.			
		2002/0128945	9/12/2002	Moss et al.			
		2002/0161690	10/31/2002	McCarthy et al.			
		2003/0004862	1/2/2003	Lutnick et al.			
		2003/0033239	2/13/2003	Gilbert			
		2003/0065613	4/3/2003	Smith			
		2003/0083976	5/1/2003	McLister			
		2003/009411	1/9/2003	Ram et al.			
		2003/0097323	5/22/2003	Khalfan et al.			
		2003/0236737	12/25/2003	Kemp et al.			
		2004/0117331	6/17/2004	Lutnick et al.			
		2004/0140998	7/22/2004	Gravina et al.			
		2004/0158519	8/12/2004	Lutnick et al.			
		2005/0038731	2/17/2005	Sweeting et al.			
		2005/004852	1/6/2005	Whitney			
		2005/0075966	4/7/2005	Duka			
		2005/0108079	5/19/2005	Langridge			
		2005/0171895	8/4/2005	Howorka et al.			
		2006/0069635	3/30/2006	Ram et al.			
		2006/0229967	10/12/2006	Sweeting			
FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
		KR 1992-700435	2/19/1992	Korea			
NON PATENT LITERATURE DOCUMENTS							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
		"Neovest Updates Trade Execution", Neovest High Performance Trading Technology, August 31, 2001, http://www.neovest.com/recentarticles/article2001831.html (printed March 2, 2004).					
		Flood, Mark D. "Microstructure Theory and the Foreign Exchange Market", Federal Reserve Bank of St. Louis Review, November-December 1991, Vol. 73, No. 6, pge 52(10), retrieved from DIALOG Gale Group Trade and Industry DB, Dialog No.: 05586898.					
Examiner Signature				Date Considered			

Page 4 of 6
ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /P.S./

Examiner's Note:

While the art submitted in this IDS has been briefly reviewed and considered, due to the incredibly large size of this IDS, it was not feasible for the examiner to thoroughly review, line by line, word for word, every single one of the

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Docket Number 03-1086	Application Number 10/699,858
		Applicants Howard W. Lutnick et al.	
		Filing Date October 31, 2003	Group Art Unit 3693
NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published	
		Photographs of second eSpeed, Inc. trading keyboard, May 9, 2004	
		Levitt, Mark 1996. New PanoView 600 brings big images to small spaces and modular systems. Business Wire October 2, 1996. http://www.proquest.com/ (accessed July 22, 2008).	
		USPTO Office Action for Application No. 08/766733, May 21, 1998.	
		USPTO Notice of Allowance for Application No. 08/766733, September 1, 1998.	
		USPTO Office Action for Application No. 10/147218, December 10, 2007 (4 pages).	
		USPTO Office Action for Application No. 10/147218, January 3, 2007 (5 pages).	
		USPTO Office Action for Application No. 10/699859, September 19, 2007 (13 pages).	
		USPTO Office Action for Application No. 10/699859, May 22, 2008 (16 pages).	
		USPTO Advisory Action for Application No. 10/699859, July 3, 2008 (3 pages).	
		USPTO Office Action for Application No. 10/715081, August 10, 2007 (12 pages).	
		USPTO Office Action for Application No. 10/715081, March 3, 2008 (16 pages).	
		USPTO Advisory Action for Application No. 10/715081, March 28, 2008 (3 pages).	
		USPTO Office Action for Application No. 10/715081, April 30, 2008 (16 pages).	
Examiner Signature	Date Considered		

Examiner's Note:

While the art submitted in this IDS has been briefly reviewed and considered, due to the incredibly large size of this IDS, it was not feasible for the examiner to thoroughly review, line by line, word for word, every single one of the

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Docket Number 03-1086		Application Number 10/699,858	
		Applicants Howard W. Lutnick et al.			
		Filing Date October 31, 2003		Group Art Unit 3693	
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published			
		USPTO Office Action for Application No. 10/759957, August 20, 2007 (11 pages).			
		USPTO Office Action for Application No. 10/759957, February 28, 2008 (15 pages).			
		USPTO Advisory Action for Application No. 10/759957, March 28, 2008 (3 pages).			
		USPTO Office Action for Application No. 10/759957, May 1, 2008 (15 pages).			
		USPTO Office Action for Application No. 11/080322, July 25, 2008 (16 pages).			
		USPTO Notice of Allowance for Application No. 11/126781, August 9, 2007 (4 pages).			
		"Aurora", Chicago Board of Trade, 1990.			
		"APT: A Trading System for the Future", The London International Financial Futures Exchange (LIFFE).			
		eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al. D. Del. Civil Action No. 03-612(KAJ) - PTS Client v1.1 Beta H:1 - march 1998 (Exhibits 118-120).			
Examiner Signature	/Paul Shumate/			Date Considered	04/13/2009